



PTO/SB/21 (05-03) (AW 07-03)

Approved for use through 04/30/2003 OMB 0651-0031

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**TRANSMITTAL  
FORM**

(To be used for all correspondence after initial filing)

Total Number of Pages in This Submission 5 + 7 References  
+ Search Report

Application Number	09/935,027
Filing Date	August 22, 2001
First Named Inventor	Mikihiro Shimada, et al
Art Unit	2872
Examiner Name	Euncha P. Cherry
Attorney Docket No.	MTS-3270US

**ENCLOSURES (Check all that apply)**

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><br><input type="checkbox"/> Amendment/Reply<br><div style="margin-left: 20px;"><input type="checkbox"/> After Final<br/><input type="checkbox"/> Affidavits/Declaration(s)</div><br><input type="checkbox"/> Extension of Time Request<br><br><input type="checkbox"/> Express Abandonment Request<br><br><input checked="" type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Response to Missing Parts/<br>Incomplete Application<br><br><div style="margin-left: 20px;"><input type="checkbox"/> Response to Missing Parts under<br/>37 CFR 1.52 or 1.53</div> | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a<br>Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation,<br>Change of Correspondence<br>Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication<br>to Group<br><br><input type="checkbox"/> Appeal Communication to Board<br>of Appeals and Interferences<br><br><input type="checkbox"/> Appeal Communication to Group<br>(Appeal Notice, Brief, Reply<br>Brief)<br><br><input type="checkbox"/> Proprietary Information<br><br><input type="checkbox"/> Status Letter<br><br><input checked="" type="checkbox"/> Other Enclosure(s) (please<br>identify below) |
| PTO-1449<br>7 references<br><br>European Search Report<br>Return Postcard  |  |   |

**Remarks:**

**SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**

Firm or Individual	Allan Ratner	Registration No. (Attorney/Agent)	19,717
Signature			
Date	August 26, 2003		

**CERTIFICATE OF TRANSMISSION / MAILING**

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August 26, 2003

Name (Print/Type) Allan Ratner  
Signature  Date August 26, 2003

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MTS-3270US



PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appln. No: 09/935,027  
Applicant: Mikihiro Shimada, et al  
Filed: August 22, 2001  
Title: OPTICAL ELEMENT AND METHOD OF FABRICATION THEREOF  
TC/A.U.: 2872  
Examiner: Euncha P. Cherry

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO 1449 (R&P) submitted herewith. A copy of each of the listed references is also enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

The following Japanese references are not in the English language:

- 1) 58-113,903
- 2) 06-194,536

References 1) and 2) include an English language abstract.

Also, References 1) and 2) were cited in a search report by a foreign patent office in a patent application corresponding to the above-identified patent application. A copy of this search report, which indicates the degree of relevance found by the foreign office, is transmitted herewith.

More than three months have elapsed since the filing of the above-referenced application and/or a first (non-Final) Official Action has been received. No Final Action or Notice

of Allowance has yet been received and it is presumed that none has yet been mailed. Accordingly, as more specifically indicated below, a statement as required by 37 C.F.R. § 1.97(c) is provided herewith.

**STATEMENT**

The undersigned hereby states that each item of information disclosed in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

  
\_\_\_\_\_  
Alan Rather, Reg. No. 19,717  
Attorney for Applicants

AR:ds

Enclosures: PTO Form 1449  
(7) References  
Search Report  
Transmittal Form

Dated: August 26, 2003

P.O. Box 980  
Valley Forge, PA 19482  
(610) 407-0700

The Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. 18-0350 of any fees associated with this communication.

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August 26, 2003



Substitute for Form 1449, USPTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

SHEET 1 of 2

## Complete If Known

Application Number	09/935,027
Filing Date	August 22, 2001
First Named Inventor	Mikihiro Shimada, et al
Art Unit	2872
Examiner Name	Euncha P. Cherry

Attorney Docket No. MTS-3270US

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US-5,675,691	10-07-1997	Johannes Edlinger et al	Abstract, Col.3, 105-6, Col.4, Lines 46-51, Col. 5, Lines 29-61, Col.6, 111-3, Figs. 2B-C, 5-8
		US-4,886,538	12-12-1989	Amaresh Mahapatra	Abstract, Col.1, Line 54, Col. 5, 12, Figs. 1-3
US-					

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		JP 58-113903 (English abstract only)	07/07/1983	Fujitsu Ltd.	Abstract, Fig. 1	<input type="checkbox"/>
		JP 06-194536 (with English abstract)	07/15/1994	Nippon Telegr & Teleph Corp>	Abstract, 11'00061, '00121, '00211, Figs. 2, 7	<input type="checkbox"/>
		GB 2-133-900A	08/01/1984	The Marconi Company Limited	Abstract, page 2, line 9-last paragraph, page 3, last paragraph, page 4, paragraph 1 c	<input type="checkbox"/>
		EP 0-297-652	01/04/1981	N.V. Philips	Abstract, Col.3, Lines 10-20, Col. 3, Lines 40-57, Col. 4, 13, Fig. 1H	<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>

Examiner Signature	Date Considered
	10-1-03

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

\*Applicant's unique document designation number (optional).

See also 37 CFR 1.13(d) and 1.14(d) of the USPTO Rules of Practice before 37 CFR 1.14.

Enter Office that issued the document, by the two-letter code (WIPO Standard St. 3).

\*For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

\*Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

\*Applicant is to place a checkmark here if English language translation is attached.

The collection of information is required by 37 CFR 1.97 and 1.99. This information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments or the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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(AW DB/03)

Substitute for Form 14493/RTC

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

SHEET 2 of 2

**Complete if Known**

Application Number	09/935,027
Filing Date	August 22, 2001
First Named Inventor	Mikihiro Shimada, et al.
Art Unit	2872
Examiner Name	Euncha P. Cherry
Attorney Docket No.	MTS-3270US

## NON-PATENT LITERATURE DOCUMENTS

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 600. Draw line through citation if not in conformance, and note reason in Remarks section.

**-EXAMINER:** Initial if reference considered, whether or not citation is in conformance with  
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**\*Applicant's unique citation designation number (optional).**

**2**) Applicant is to place a check mark here if English language translation is attached.  
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